

C3. Chapter 3

DoD PUBLIC INFORMATION REQUIREMENTS

C3.1. PURPOSE

Chapter 35 of Title 44 U.S.C. (reference (g)) and its implementing regulation, 5 CFR 1320 (reference (c)) cover the policy for collecting information from the public and have as their stated purpose to:

C3.1.1. Minimize the Federal paperwork burden on the public and the cost to the Federal Government of collecting, maintaining, using, and disseminating information;

C3.1.2. Maximize the usefulness of the information;

C3.1.3. Coordinate Federal information policies and practices;

C3.1.4. Improve the quality and use of Federal information and provide for the dissemination of information through effective use of information technology; and

C3.1.5. Ensure information is managed in accordance with applicable laws including those related to privacy and confidentiality, security of information and access to information.

C3.2. SCOPE

This chapter provides the necessary procedures for DoD Components to establish, revise, extend, and cancel information collections from members of the public. It includes detailed guidance on the preparation of OMB Form 83-I, "Paperwork Reduction Act Submission (See figures C3.F2. and C3.F3. (pages 1 and 2)), " a supporting statement (See figures C3.F3. (pages 3 and 4), C3.F4. and C3.F5.), and a 60-day Federal Register Notice (See figure C3.F6.), all of which are required by OMB before their review of a public information collection proposal.

C3.3. DEFINITIONS

C3.3.1. Agency Disclosure Notice. The disclosure, on each collection of information, of the Agency estimate on the average burden hours per response required to respond to the collection. Included with the estimate of burden is a request that the public direct comments concerning the accuracy of this estimate and any suggestions for reducing the burden to the agency and to OMB. An

Agency Disclosure Notice must be placed on copies of public information collections printed or reproduced after July 1, 1988.

C3.3.2. Burden Hours. See Public Burden (C3.3.5, below).

C3.3.3. Collection of Information. All oral, written, or electronically transmitted expressions of opinion or fact requested or required of ten or more persons by or for the Executive Branch, except those specifically exempted, require OMB approval and must display currently valid OMB control numbers. The collection must ask respondents to provide, disclose, or record facts or opinions in response to identical questions and must display a currently valid OMB control number, expiration date, and notice of legal consequences of failing to display the control number. Exceptions to displaying an expiration date must be requested, justified and approved by OMB.

C3.3.4. DoD Clearance Officer. The individual or office assigned the Department of Defense-wide responsibilities for managing public information reporting requirements. The DoD Clearance Officer is organizationally assigned to Washington Headquarters Services/Directorate for Information Operations and Reports (WHS/DIOR), Information Control Division.

C3.3.5. Public Burden. The total time, effort, or financial resources required to respond to a collection of information, including that to:

C3.3.5.1. Read or hear and then understand the instructions;

C3.3.5.2. Develop, modify, construct, monitor or assemble any materials or equipment necessary to collect and report the data or keep records;

C3.3.5.3. Compile information from records, and/or to conduct tests, interviews, inspections, polls, observations, or other activities necessary to obtain the information;

C3.3.5.4. Organize the information into the requested format;

C3.3.5.5. Review its accuracy and its method of presentation;

C3.3.5.6. Maintain, disclose, reproduce, disseminate, or report the information, and

C3.3.5.7. Respond to any follow-up request initiated by the Agency or others affected by the information for clarification, further information or verification.

C3.4. APPLICABILITY

Chapter 35 of Title 44 U.S.C. (reference (g)) applies to the Executive Agencies, Government corporations, Government-controlled corporations, and independent regulatory Agencies. Reference (g), as amended by Section 5125(a) of Public Law 104-106 (reference (h)) includes a provision that every Federal Agency designate a Chief Information Officer (CIO), who reports directly to the Agency head, to be responsible for that Agency's compliance with reference (g). The CIO for the Department of Defense is the Assistant Secretary of Defense for Command, Control, Communications and Intelligence.

C3.5. RESPONSIBILITIES

C3.5.1. Office of Management and Budget (OMB).

C3.5.1.1. Reviews and approves proposed Agency information collections;

C3.5.1.2. Develops and oversees the implementation of uniform and consistent resource management policies, principles, standards, and guidelines, and promoting their use; and

C3.5.1.3. Reviews Agency paperwork reduction activities in connection with the Agency's fiscal budget, information collection budget, management oversight, procurement policy, regulatory policy, Automatic Data Processing (ADP) and telecommunications, and statistical policy functions.

C3.5.2. Federal Agencies. Federal Agencies shall not collect information from the public without first obtaining OMB approval, and should not seek to enforce or request compliance with disapproved or expired collections of information. Agencies shall ensure that a proposed collection:

C3.5.2.1. Imposes the least burden that is necessary for the performance of the Agency's function;

C3.5.2.2. Will not unnecessarily obtain information already available;

C3.5.2.3. Has practical utility. (i.e., the actual, not merely the theoretical or potential usefulness of the information being collected, considering its accuracy, adequacy, and

reliability, and the Agency's ability to process the information in a useful and timely fashion);

C3.5.2.4. Minimizes the Agency's cost of collections without shifting disproportionate costs or burden onto the public; and

C3.5.2.5. Satisfies the OMB guidelines described in paragraph C3.6., of this Chapter, below.

C3.5.3. Public.

C3.5.3.1. Notices of Proposed Information Collections Available for Public Comment are published in the Federal Register prior to the proposal being submitted to OMB. The public has 60 days in which to provide comments to the sponsoring Agency concerning the proposed information collection. The sponsoring Agency uses the public comments to evaluate the overall need for the collection, as well as for the possibility of revision of the collection. A copy of the Federal Register Notice, as well as a summary of the results of the Federal Register action, become a part of the proposal that is submitted to OMB for review and approval.

C3.5.3.2. Notices of Agency Information Collections Under OMB Review are published in the Federal Register at the same time the proposed collection is forwarded to OMB for review and approval. The public normally has 30 days in which to provide comments to OMB concerning an information collection. OMB uses the public comments to help ensure that the information proposed to be collected is not already available, that the collection will meet the stated need and purpose, and that appropriate efforts are being made to minimize burden and maximize practical utility.

C3.6. OMB GUIDELINES

OMB guidelines for collecting information from the public must be satisfied. These OMB guidelines concern:

C3.6.1. Consultation with the Interested Agencies and Members of the Public to Minimize the Reporting Burden. Agencies should consult with a cross section of potential respondents or their representatives to obtain estimates of the burden involved in complying with the request. These consultations should include not more than nine persons. Alternatively, Agencies may utilize public responses received from comment solicitation notices published in the Federal Register.

NOTE: Consultation in the sense of this guideline does not mean, and should not be confused with consultants, per se.

C3.6.2. Frequency, response time, and number of copies.

C3.6.2.1. Frequency. Information should not be reported more often than quarterly.

C3.6.2.2. Response Time. Written response should not be required sooner than 30 days after respondents have received the request for information.

C3.6.2.3. Number of Copies. Respondents should not be required to submit more than an original and two copies of a document.

C3.6.3. Nature and Format of Information Respondents are to Keep or Submit, and the Record Retention Period.

C3.6.3.1. Information Format. As far as possible, avoid requiring respondents to maintain or provide information in a format different from that in which they customarily maintain it.

C3.6.3.2. Retention Period. Respondents should not be required to retain records, other than health, medical, Government contract, grant-in-aid, or tax records, for more than three years.

C3.6.4. Remuneration of Respondents. Agencies should not provide for any payment or gift to respondents, other than remuneration of contractors or grantees, unless an explanation has been provided to OMB as part of the information collection proposal and has received OMB approval. This requirement constitutes Item 9 of the Supporting Statement.

C3.6.5. Statistical Surveys. Agencies should conduct statistical surveys that are designed to produce results that can be generalized to the universe of the study. Additionally, information collections should not require the use of statistical data classifications that have not been approved by OMB. For additional guidance on conducting statistical surveys. See Appendix D., "Contracting for Surveys" of the OMB Publication "Resource Manual for Customer Surveys," (reference (q)).

C3.6.6. Confidential Information. Respondents should not be required to submit proprietary, trade secret, or other confidential information unless the Agency can demonstrate that it has instituted procedures to protect the information's confidentiality to the extent permitted by law.

C3.6.7. Simplified Requirements for Small Entities. The Agency should take all practical steps to develop simplified requirements for small businesses or entities.

C3.6.8. Use of Automated Collection Techniques and Other Forms of Information Technology to Reduce Burden on Respondents. The Agency should consider reducing the burden on respondents by use of automated collection techniques or other forms of information technology.

C3.6.9. Method of Collection. The mechanism or method by which a Component conducts or sponsors a collection of information does not affect the requirements that an agency seek OMB approval. The collection of information may be in any form or format, including, but not limited to report forms; application forms; questionnaires; surveys; requests for proposal or other procurement requirements; interview guides; oral communications; focus groups; telegraphic or telephonic requests; automated, electronic, mechanical, or other technological collection techniques.

C3.6.9.1. An electronic questionnaire, attached to an Internet site, which asks identical, specific questions of ten or more persons is subject to OMB review and approval. The approved electronic format shall display the OMB approval number and expiration date.

C3.6.9.2. An Internet "suggestion box" format such as one requesting "ideas, comments, suggestions, or anything else you would like to tell us," or one asking "if you experience any technical problems with our site, or have any suggestions for improving it, please let us know," are not considered to be identical questions. Such general solicitations of comments from the public do not require OMB approval.

C3.7. COVERAGE

C3.7.1. General. OMB approval is needed to collect information from members of the public. The purpose of this section is to:

C3.7.1.1. Define who is a member of the public for purposes of public information collection;

C3.7.1.2. Cover the conditions under which a specific information collection may not require OMB review and approval; and

C3.7.1.3. Delineate protection afforded the respondent under the public protection clause of Chapter 35 of Title 44 U.S.C. (reference (g)).

C3.7.2. Members of the Public. Members of the public are individuals, partnerships, associations, corporations, (including operations of Government-owned, contractor-operated facilities other than "whole concept contracts"), business trusts, or legal representatives, organized groups of individuals, and State, territorial, tribal, or local governments, or components thereof.

C3.7.3. Federal Employees.

C3.7.3.1. Current Federal employees are considered members of the public if the collection of information is addressed to them in their capacity as individual private citizens. Federal employees, however, are not considered members of the public when they respond to a collection of information within the scope of their employment.

C3.7.3.2. Retired Federal employees are considered to be members of the public. Military retirees, however, are not considered to be members of the public when surveyed under reference (r).

C3.7.4. Military. Reference (r) states that the Secretary of Defense may conduct surveys of members of the Armed Forces serving on active duty or in active status, members of the families of such members, and retired members of the Armed Forces, but not retired members' dependents, to determine the effectiveness of existing Federal programs relating to military families and the need for new programs. The Secretary of Defense may also gather information about their duty status from military Reservists, members of the National Guard and, during instruction and training activities from Reserve Officer Training Corps (ROTC) cadets.

C3.7.4.1. Military Personnel on Active Duty, including military reservists and members of the National Guard:

C3.7.4.1.1. are not considered members of the public if they are responding to questions regarding their duty status as Federal employees or to determine the effectiveness of Federal programs relating to military families and the need for new programs. In either case, the collection will not need OMB approval.

C3.7.4.1.2. are considered members of the public, if the collection of information is addressed to them in their

capacity as individual private citizens. Therefore, the collection will need OMB approval.

Note: All surveys of Military Personnel on active duty, including military reservists and members of the National Guard in active status, must be submitted to WHS/DIOR for review on a case-by-case basis. WHS/DIOR will determine whether the information collection requires OMB approval.

C3.7.4.2. Active Duty Military Dependents and Retirees are generally considered to be members of the public. They are not, however, considered members of the public if surveyed under (reference (r)). Retiree dependents are considered members of the public at all times.

C3.7.4.3. ROTC cadets are considered to be members of the public if the collection of information is addressed to them in their capacity as private citizens. They are not, however, considered members of the public when providing information to instructors during classroom and other training activities.

C3.7.5. Contractors.

C3.7.5.1. Contractors hired by a respondent to comply with the information collection request are not considered members of the public.

C3.7.5.2. Contractors with the Federal Government are considered to be members of the public for information collection purposes, and OMB approval is required to collect information from them.

C3.7.5.3. If the Federal Government sponsors, or is the recipient of the data collected from a survey conducted by a contractor, then the collection requires OMB approval. The collection must be licensed if the Government Agency dictates the questions, specifies what data will be asked of the public, or in any way influences the data parameters, or if the name of the Federal Government is invoked in any way. If, however, in providing the sponsor with information requested, the contractor devises their own questions, and uses them solely to construct the response to the Government, then it is not considered a collection of information from the public.

C3.7.6. Foreign Nationals. Foreign nationals are considered to be members of the public when the collection of information takes place in the United States.

C3.7.7. Public Protection. The public protection clause of Chapter 35 of Title 44 U.S.C. (reference (g)) affords protection

to respondents in cases of improper information collecting. Notwithstanding any other provision of law, no person shall be subject to penalty for failing to comply with a collection of information subject to reference (g), if:

C3.7.7.1. The collection of information does not display a currently valid OMB control number;

C3.7.7.2. The Agency fails to inform the potential respondent that they are not required to respond unless the collection displays a currently valid OMB control number; or

C3.7.7.3. An Agency has imposed a collection of information as a means for providing or satisfying a condition for the receipt of a benefit or the avoidance of a penalty and a currently valid OMB control number is not displayed. The Agency shall not treat a person's failure to comply, in and of itself, as grounds for withholding the benefit or imposing the penalty.

C3.7.7.4. All information collection instruments (forms, surveys, etc.) must contain an "Agency Disclosure Notice" (ADN) which should be prominently displayed at the top of a form or at the beginning of a survey. The following is a sample ADN:

The public reporting burden for this collection of information is estimated to average XX **[Insert the time in minutes/hours, as appropriate]** minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing the burden, to Department of Defense, Washington Headquarters Services, Directorate for Information Operations and Reports (XXXX-XXXX) **[Insert OMB Control Number]**, 1215 Jefferson Davis Highway, Suite 1204, Arlington, VA 22202-4302. Respondents should be aware that notwithstanding any other provision of law, no person shall be subject to any penalty for failing to comply with a collection of information if it does not display a currently valid OMB control number.

PLEASE DO NOT RETURN YOUR RESPONSE TO THE ABOVE ADDRESS.

C3.8. EXEMPT COLLECTIONS

C3.8.1. Issuance Statement for Collections of Information That Do Not Require OMB Review and Approval. When an information collection from members of the public does not require OMB approval, the reason should be given in the implementing

directive, instruction, or regulation and this Manual shall be cited as the authority. For example:

Z. Information Requirements

The reports in this directive do not require OMB approval in accordance with C3.8.2.2 of DoD 8910.1-M (reference ()).

C3.8.2. Collections of Information That Do Not Require OMB Approval include:

C3.8.2.1. Information Collections Addressed to Nine or Fewer Persons. Collections addressed to nine or fewer persons within a 12-month period, do not require OMB approval.

C3.8.2.2. Exempt Collections of Information. Exempt collections of information are those conducted:

C3.8.2.2.1 During the conduct of Federal criminal investigation or prosecution, or during the disposition of a particular criminal matter;

C3.8.2.2.2. During the conduct of a civil action to which the United States is a party, or during the conduct of an administrative action, investigation, or audit involving an Agency against specific individuals or entities;

C3.8.2.2.3. By compulsory process pursuant to Sections 41 and 1311 of Title 15 U.S.C. (references (s) and (t));

C3.8.2.2.4. During the conduct of intelligence activities, or during the conduct of cryptologic activities that are communications securities activities; or

C3.8.2.3. Items Generally Not Considered To Be Information.

Non-information items include:

C3.8.2.3.1. Affidavits, oaths, affirmations, certifications, receipts, changes of address, consents, or acknowledgments, provided that they entail no burden other than that necessary to identify the respondent, the date, the respondent's address, and the nature of the instrument. (By contrast, a certification would likely involve the collecting of "information" if it were conducted as a substitute for a collection of information, to collect evidence of, or to monitor compliance with regulatory standards. Such a certification would

generally entail burden in addition to that necessary to identify the respondent, date, etc.);

C3.8.2.3.2. Samples of products or of any other physical objects. (This category includes requests for information that is already available in a form suitable for distribution and is provided in that form to all requesters. However, the request is a collection of information if the information has to be compiled.);

C3.8.2.3.3. Facts or opinions obtained through direct observation by an employee or agent of the sponsoring Agency or through non-standardized oral communication in connection with such direct observations;

C3.8.2.3.4. Facts or opinions submitted in response to general solicitations of comments from the public, published in the Federal Register or other publications, provided that no person is required to supply specific information pertaining to the respondent, other than that necessary for self identification, as a condition to the Agency's full consideration of the comment;

C3.8.2.3.5. Facts or opinions, obtained initially or in follow-up requests, from individuals (including individuals in control groups) under treatment or clinical examination in connection with research on, or prophylaxis to prevent, a clinical disorder; direct treatment of that disorder; or the interpretation of biological analyses of body fluids, tissues, or other specimens; or the identification or classification of such specimens. This includes medical records established as a result of this type of action;

C3.8.2.3.6. A request for facts or opinions addressed to a single person;

C3.8.2.3.7. Examinations designed to test the aptitude, abilities, or knowledge of the persons tested and the collection of information for identification or classification in connection with such examinations;

C3.8.2.3.8. Facts or opinions obtained or solicited at, or in connection with, public hearings or meetings;

C3.8.2.3.9. Facts or opinions obtained or solicited through non-standardized follow-up questions designed to clarify responses to approved collections of information;

C3.8.2.3.10. Like items so designated by OMB. (OMB has the authority to determine that a particular activity does

not constitute a collection of information, provided that the activity is comparable to the nine items described above, and that the classification of the activity as not constituting a collection of information would not defeat the purpose and intent of the "Paperwork Reduction Act of 1995" (reference (m)).);

C3.8.2.3.11. Collections of information from Federal employees within the scope of their employment, unless the results are to be used for general statistical purposes; or

C3.8.2.3.12. A request for facts or opinions addressed to members of the Armed Forces serving on active duty, members of their families, and retired members of the Armed Forces, but not their families, when being surveyed within the context of reference (r).

C3.9. INFORMATION COLLECTION BUDGET (ICB)

C3.9.1. Submission of Annual ICB. Each Agency's CIO shall develop and submit to OMB in such form, at such time, and in accordance with such procedures as OMB may prescribe, an annual comprehensive budget for all collections of information to be conducted from the public in the succeeding 12 months.

C3.9.2. ICB Historical Perspective. The ICB is, historically, a projection by each Federal Agency of the total number of burden hours it intends to require from the public to provide it with information. It is an estimate of the time, direct and indirect, necessary for individuals, businesses, and organizations to collect, record, submit, and maintain records of information provided to the Federal Government. Federal Agencies prepare ICB requests annually in response to specific direction from OMB. These requirements normally include an estimate of burden hours for information collection activities which an Agency expects to conduct in the immediately succeeding fiscal year, as well as a summarization of the preceding and succeeding fiscal years' efforts and plans to reduce the overall burden imposition on the public. The sum of all agencies' ICBs is the ICB for the Federal Government.

C3.9.3. Statutorily Directed Reductions. Chapter 35 of Title 44 U.S.C. (reference (g)) mandates incremental reductions in the overall DoD burden inventory by 10% in each of fiscal years 1996 and 1997, and by 5% in each of fiscal years 1998, 1999, 2000, and 2001. This reduction will be accomplished in a manner to be determined by OMB.

C3.10. PROCEDURES TO LICENSE DOD PUBLIC INFORMATION REQUIREMENTS

C3.10.1. Overview.

C3.10.1.1. The request for OMB approval of an information collection from the public initially involves the preparation of an OMB Form 83-I, "Paperwork Reduction Act Submission" package. Generally, the clearance package is prepared by the program office that requires or will utilize the information, in conjunction with the Component IMCO. During the preparation of the clearance package, the Program Office must publish a 60-day notice in the Federal Register to alert the public that a collection of information is being considered, and to invite public comment on the proposal. The package is submitted to the DoD Component IMCO who is available to assist in preparing the package.

The package is then sent to WHS/DIOR for review and quality control and finally to OMB for review and approval or disapproval. At the same time that the package is sent to OMB for review, the proposed information collection is announced in the Federal Register for public comment. This public comment period lasts for 30 days. OMB then has 30 additional days to review these comments and to approve or disapprove the package. Figure C3.F1 shows the overall flow of the approval process and the organizations responsible for the various steps in the process.

C3.10.1.2. A clearance package has two major parts plus supporting documentation:

C3.10.1.2.1. OMB Form 83-I. This form is the official application that an Agency submits to OMB for review of a proposed information collection activity. (See figure C3.F2.) It contains essential data which OMB needs to evaluate the request;

C3.10.1.2.2. Supporting Statement. This is the Agency's statutory, regulatory, and programmatic justification for the information collection activity (See figure C3.F4.); and

C3.10.1.2.3. Supporting Documentation. This includes copies of the 60-day Federal Register Notice (See figure C3.F6.), the instrument of collection (form, survey, etc.), relevant portions of prescribing or mandating directives or statutes, etc.

C3.10.1.3. The information clearance package for any collection of information contained in a proposed rule is to be submitted to OMB on or before the day on which the Notice of

Proposed Rule-making (NPRM) is published in the Federal Register. A copy of the proposed regulation and preamble is to be included in the package. The notice in the preamble to the NPRM is to include both the information required in the 60-day and 30-day Federal Register notices. The notice is to direct public comments to the OMB reviewer.

C3.10.2. Preparation of the OMB 83-I Package.

Block by block instructions for completion of the OMB Form 83-I follow. Pay particular attention, however, to the requirements as defined in OMB Form 83-I INST, "Instructions for Requesting OMB Review Under the Paperwork Reduction Act" (See figure C3.F3.). In some areas, they are more comprehensive than these instructions.

C3.10.2.1. Front Page of OMB Form 83-I

Item 1 Show "Department of Defense" first

Item 2 For revision, extension, or reinstatement of a previously approved public information collection use the assigned OMB control number.

For a new collection of information the following agency codes apply to the Department of Defense:

0701 - Air Force
0702 - Army
0703 - Navy
0704 - OSD and Other DoD Components
0710 - Army Corps of Engineers
0720 - Health Care Matters
0730 - Defense Finance and Accounting Service

Item 3

Mark one of the following categories that describes the type of information collection request being submitted:

New Collection. Mark "New Collection" when the collection has not been previously sponsored by the Agency.

Revision. Mark "Revision" when the collection is currently approved, but the proposal makes a substantive change to the collection instrument, frequency of collection, the use to which the information collected will be put, or any other area that significantly affects the approved burden.

Extension. Mark "Extension" when the collection is currently approved, and the Agency wishes only to renew the approval past the current expiration date, but for a period not to exceed three years. An extension may make no substantive change to the collection or its burden. The "extension" referred to on the OMB Form 83-I is not to be confused with an "emergency extension" referred to at paragraph C3.11.3.

Reinstatement Without Change. Mark "Reinstatement without change" when the collection was previously approved by OMB but that approval has expired, and there is no change to the collection.

Reinstatement With Change. Mark "Reinstatement with change" when the collection was previously approved by OMB but that approval has expired, and there is change to the collection.

Existing Collection. Mark "Existing collection in use without OMB control number" when the collection is in use but has not been cleared by OMB.

Item 4

Regular Submission. Mark "Regular submission" when the proposal is being submitted in accordance with Section 10, "Clearance of Collections of Information, Other Than Those Contained in Proposed Rules or Current Rules;" Section 11, "Clearance of Collections of Information Contained in Proposed Rules;" or Section 12, "Clearance of Collections of Information in Current Rules" of 5 CFR 1320 (reference (c)). These submissions have a standard 60 day review schedule.

Emergency. Mark "Emergency" when the proposal is being submitted in accordance with Section 13, "Emergency Processing" of 5 CFR 1320 (reference (c)). As stated therein, an agency head or the CIO may request OMB to authorize emergency processing of information collection proposals.

In the Department of Defense, the CIO is the ASD(C3I), appointed in compliance with reference (h). Any such request must be accompanied by a written determination that the collection of information is essential to the mission of the Agency, and that the Agency cannot reasonably comply with normal clearance procedures because:

(1) Public harm is likely to result if normal clearance procedures are followed;

(2) An unanticipated event has occurred; or

(3) The use of normal clearance procedures is likely to prevent or disrupt the collection of information, or cause a statutory or court-ordered deadline to be missed.

NOTE: Insufficient planning or administrative oversight does not warrant the use of emergency submission

Additionally, the Agency must state the time period within which OMB should approve or disapprove the proposal, as well as submit information indicating that the Agency has taken all possible steps to consult with interested Agencies and members of the public to minimize the associated burden.

Unless waived or modified by OMB, the Agency must publish in the Federal Register the notice required by Section 5, "Federal Register Notice of OMB Review," of 5 CFR 1320 (reference (c)), which includes a statement that the Agency is requesting emergency processing, and the time period within which OMB should approve or disapprove the proposal. If OMB approves the collection of information, a control number, valid for 180 days, will be assigned.

Delegated. "Delegated" is never marked. DoD does not have delegated authority granted by OMB to review and act on proposed collections of information.

Item 5

Mark "Yes" if the collection will have a significant impact on small businesses or other small entities. If this item is marked "Yes," it must be reflected in Item 5 of the Supporting Statement.

Item 6

Do not request more time than is required to complete the collections phase of your proposal. A maximum approval period of three years is mandated by Chapter 35 of Title 44 U.S.C. (reference (g)).

Item 7

State the title briefly and concisely.

Item 8

List all forms, both Department of Defense and Component, that will serve as instruments of collection and that will display the OMB control number and expiration date.

Item 9

The *Federal Register Thesaurus of Indexing Terms* is found in the Federal Register (FR), Volume 55, pages 38445-38470 (reference (u)). An example of a properly prepared keyword list is: "Foreign Service, Immigration, Travel", etc. The first two keywords must be from this thesaurus. You may add as many more keywords as you feel necessary for clarification, but do not exceed two lines of text.

Item 10

Limit the abstract to no more than 5 lines of text. The abstract should identify any statutory requirements that require the collection and address the following three questions:

- WHO (in the public) will supply the information?
- WHAT circumstances require the submissions?
- HOW will the agency use the information?

Item 11

Mark all categories that apply. Remember to denote the primary public with a "P" and others that apply with an "X."

Item 12

"Mandatory" applies only when the respondent must reply, or face civil or criminal prosecution.

Item 13

If a respondent is also a recordkeeper, report this as one respondent. Total annual hours include both the reporting and recordkeeping burden. Indicate whether changes are "+" or "-" where appropriate. Enter whether the difference is an adjustment or a program change. These terms are defined in OMB Form 83-I INST (See figure C3.F3.).

Item 14

This item should address operations and maintenance costs, as well as capital or start-up costs. Include only capital or start-up costs incurred subsequent to October 1, 1995. Do not include in this item the labor costs associated with the burden hours identified in Item 13. Indicate whether changes are "+" or "-" where appropriate. Enter whether the difference is an adjustment or a program change

Item 15

Denote the primary purpose with a "P" and others that apply with "X."

Item 16

Mark "X" for all that apply.

a. Mark "Recordkeeping" if a requirement is imposed on persons to retain specified records, provide notification of their existence, or report to third parties, the Federal government, or the public regarding such records.

b. Mark "Third Party Disclosure" if a requirement is imposed on persons to disclose information directly to the intended beneficiary (e.g., an employee of the employer) or the enforcer (e.g., the State of local government), thereby eliminating the need for the Federal agency to collect and process the information itself.

c. Mark "Reporting" for information collections that involve reporting and check the frequency of reporting that is requested or required of a respondent. If the reporting is on "an event" basis, mark "On Occasion."

Item 17

Indicate whether the collection of information employs statistical methods. If "Yes" is marked, complete Section B of the Supporting Statement.

Item 18

Enter the name and telephone number of the person who can best answer questions about the proposal. Keep in mind that this is the person OMB will contact with questions if they decide to call the project officer directly.

C3.10.2.2. Back Page of OMB Form 83-I.

NOTE: Enter OMB Control Number or Agency Code, and Title, at the top of the back page of the form.

Item 19.a

The requirement for certification contained in Section 9, "Agency Certifications for Proposed Collections of Information" of 5 CFR 1320 (reference (c)) is thoroughly delineated at the end of the instructions for OMB Form 83-I (See

figure C3.F3.)). This item should not be signed by the Agency Contact indicated in Item 18. It should be signed by a program official at an authoritative level to ensure the signature represents the certification of the submitting component. Signatures "for" should be avoided. If there are any provisions of this certification with which the sponsoring component cannot comply, they should be identified here, and explained in Item 18 of the Supporting Statement.

Item 19.b

The certification contained in this item will be provided by the Director, DIOR.

C3.10.2.3. Estimation of Burden Hours. 5 CFR 1320 (reference (c)) defines burden as "the total time, effort, or financial resources expended by persons to generate, maintain, retain, or disclose or provide information to or for a Federal agency."

C3.10.2.3.1. Burden hours are a key element in the preparation of the OMB Form 83-I. When developing estimates for burden hours, address the time to respond which includes:

C3.10.2.3.1.1. The work hours required to:

C3.10.2.3.1.1.1. Read or hear the instructions;

C3.10.2.3.1.1.2. Develop, modify, construct, monitor, or assemble any materials or obtain equipment necessary to collect and report the data; or

C3.10.2.3.1.1.3. Keep records; process, format, record, and report the information; and

C3.10.2.3.1.1.4. Manage the collection, recording, and reporting of the information.

C3.10.2.3.1.2. Other factors that need to be considered in estimating burden hours such as the number of reports, applications, records and/or forms produced each year; as well as the number of respondents.

C3.10.2.3.2. Steps necessary to estimate burden hours are as follows:

C3.10.2.3.2.1. Step 1 - Identify the information collection and reporting requirements. Include data elements to be reported and the frequency each element will be collected;

C3.10.2.3.2.2. Step 2 - Determine the source of the information (e.g., personal opinions, monitoring devices, etc.);

C3.10.2.3.2.3. Step 3 - Determine if the information is currently being collected, recorded, stored and, if so, in what form;

C3.10.2.3.2.4. Step 4 - Identify previous experience with reporting of same or similar information;

C3.10.2.3.2.5. Step 5 - Conduct pretests of the information collection and reporting process;

C3.10.2.3.2.6. Step 6 - Conduct informal consultations with a few respondents;

C3.10.2.3.2.7. Step 7 - For individual or household surveys, conduct trials with office staff;

C3.10.2.3.2.8. Step 8 - Compute burden hour estimates and reference the basis for the computations;

C3.10.2.3.2.9. Step 9 - Determine if the total burden is within reasonable limits;

C3.10.2.3.2.10. Step 10 - Finalize burden hour estimates and use them to prepare information collection requests; and

C3.10.2.3.2.11. Step 11 - Consult with the IMCO for additional information, if necessary.

C3.10.2.4. Prepare Supporting Statement. A supporting statement must be submitted with each OMB 83-I package. The "Supporting Statement Outline," which should be adhered to when completing an OMB 83-I package, is shown as figure C3.F4. Each topic being addressed should be identified with the title of the topic in the outline; e.g., 1. Need for the Information Collection; 2. Use of Information, etc. This aids the OMB desk officer immeasurably in his or her review and approval determination. If a topic does not relate to the information collection request, enter the title of the topic, state "this section does not apply," and briefly explain why. Do not simply enter "Not applicable." Figure C3.F5. provides an example of a properly completed supporting statement.

C3.10.2.5. Federal Register Notices. Chapter 35 of Title 44 U.S.C. (reference (g)) requires the publication of two notices in the Federal Register when establishing a public information collection.

C3.10.2.5.1. Federal Register Notice 1 (See figure C3.F6.) The first notice is published by the originating office at least 60 days in advance of submission of the clearance package to OMB for approval. If the information collection is contained in a proposed rule, the package shall be forwarded to OMB for review and comment no later than the day the NPRM is published in the Federal Register. This notice, alerts the public that an information collection is being considered, and invites comments regarding certain aspects of the proposal.

C3.10.2.5.2. Federal Register Notice 2 (See figure C3.F7.) The second notice, offering a 30-day comment period is published by WHS/DIOR, at the time the clearance package is submitted to OMB. It solicits comments on the final proposal.

C3.10.3. OMB 83-I Package Process. When the OMB 83-I package has been developed, the entire documentation goes through the following steps:

C3.10.3.1. Clear Through Component IMCO. Submit the OMB 83-I package (original package and three identical copies) through the IMCO who shall conduct a thorough and conscientious review, ensuring that the entire proposal is complete and correct. Any errors that are correctable at the IMCO level should be accomplished before forwarding the OMB 83-I package to WHS/DIOR.

The OMB Form 83-I and Supporting Statement may be transmitted electronically to WHS/DIOR so that review may begin more expeditiously. Hard copy submission with original signatures and supporting documentation must follow before the proposal can be submitted to OMB.

Additionally, the IMCO shall ensure compliance with the following programs:

C3.10.3.1.1. Privacy Act (reference (o)) - OSD Component offices coordinate with or forward the OMB 83-I package to WHS, Directorate for Correspondence and Directives, Directives and Records Division in accordance with DoD 5400.11-R (reference (d)) and DoD components coordinate with their internal privacy office;

C3.10.3.1.2. Postal - If this information collection is used as a mailer, follow the procedures in DoD 4525.8-M (reference (v));

C3.10.3.1.3. Data Administration - If the data being collected are used in support of DoD operations and decision- making or in an AIS that requires horizontal and/or vertical sharing of data, follow the procedures in DoD 8320.1-M (reference (f));

C3.10.3.1.4. Reports Management Program - DoD Internal Information Requirements. If this information is also collected from the DoD Components, follow the procedures in Chapter 4 of this Manual;

C3.10.3.1.5. Reports Management Program - Interagency Reporting Requirements. If this information is also collected from other Federal Agencies, follow the procedures in Chapter 5 of this Manual;

C3.10.3.1.6. Forms Management Program. If the instrument of collection should be controlled as a form, follow the procedures in DoD 7750.7-M (reference (e)); and

C3.10.3.1.7. Other. Items to which you should be particularly attentive are:

C3.10.3.1.7.1. Completeness (Original and three identical packages).

- OMB Form 83-I
- Supporting Statement
- Instruments of collection; i.e., form, survey, etc.
- Instructions or guidelines
- Relevant portions of applicable laws and regulations
- Copy of 60-day Federal Register notice
- Summary of results of 60-day Federal Register Notice

C3.10.3.1.7.2. OMB Form 83-I entries.

<u>Item</u>	<u>Checked For</u>
1	Must show "Department of Defense" first
9	Must have minimum of two keywords

from the *Federal Register Thesaurus of Indexing Terms* (reference (u))

- 13.d Must equal OMB's most current inventory listing
- 14 Must be clearly and fully documented in the Supporting Statement

C3.10.3.1.7.3. Supporting Statement. Check the justification for the information need, use, and existence of duplicative information collections. Ensure that the burden hour calculations are fully explained and supported;

C3.10.3.1.7.4. DoD Forms Program. Review the proposed information requirement to determine if the instrument of collection should be controlled as a form in accordance with DoD 7750.7-M (reference (e)). Ensure that forms have provisions for displaying the OMB control number and expiration date in the upper right corner, and the Agency Disclosure Notice, as required by 5 CFR 1320 (reference (c));

C3.10.3.1.7.5. DoD Data Administration Program. DoD 8320.1-M (reference (f)) provides procedures for implementing the DoD Data Administration Program. It also contains procedures for identifying, standardizing, collecting, distributing, using, and disposing of DoD data; and

C3.10.3.1.7.6. Other Factors. Check survey documents for consistency with the information requirement and request assistance from survey experts on the technical aspects of the survey. Check for overall compliance with DoD Instruction 1100.13 (reference (k)), if applicable.

C3.10.3.2. Submission to WHS/DIOR for Review. The DoD Clearance Officer reviews all DoD public information collection packages before they are submitted to OMB. They are checked for, among other things, completeness of the OMB 83-I package, practical utility of the information collected, duplicative reporting requirements, and clarity of the explanation of the burden estimates. If there is a problem with material submitted, the DoD Clearance Officer will contact the IMCO for the office submitting the package and try to resolve the problem. If the problem cannot be resolved in this manner, the package will be returned with a written explanation.

C3.10.3.3. Submission to OMB

C3.10.3.3.1. OMB Criteria. Depending on the type of information collection activity proposed, OMB may review it with varying degrees of depth. Typical issues OMB may raise are:

C3.10.3.3.1.1. How often is the reporting requirement form used, and is that the minimum frequency required?

C3.10.3.3.1.2. Is the response voluntary?

C3.10.3.3.1.3. How old is the report? Is it still valid?

C3.10.3.3.1.4. Will this information collection trigger the need for additional data?

C3.10.3.3.1.5. Is the information collection the result of a regulatory or administrative requirement?

C3.10.3.3.1.6. How many burden hours are required to provide the information? Is the burden estimate realistic? Is the amount excessive?

C3.10.3.3.1.7. What is the quality of the data collection design?

C3.10.3.3.1.8. Can the information be found elsewhere?

C3.10.3.3.1.9. Is the information really needed, or is it outmoded?

C3.10.3.3.1.10. Is every question or data element really necessary?

C3.10.3.3.1.11. Are the privacy and confidentiality of the respondents protected?

C3.10.3.3.1.12. Is the study statistically valid and designed to be efficiently administered?

C3.10.3.3.2. Public Access. To enable the public to participate in and provide comments during the clearance process, OMB will make its files available for public inspection during normal business hours. Requirements to provide materials to the public may be modified or waived by OMB to the extent that such public participation in the approval process would:

C3.10.3.3.2.1. Defeat the purpose of the collection of information;

C3.10.3.3.2.2. Jeopardize the confidentiality of proprietary, trade secret, or other confidential information;

C3.10.3.3.2.3. Violate State or Federal law; or

C3.10.3.3.2.4. Substantially interfere with the Department of Defense's ability to perform its statutory obligations. Accordingly, make sure that any material that cannot be disclosed to the public be excluded from the OMB 83-I package and advise WHS/DIOR of this when the package is forwarded.

C3.10.3.4. OMB Approval/Disapproval. The 60-day approval period begins when OMB receives the OMB 83-I package or when the 30-day Federal Register Notice is published, whichever is later. OMB shall either:

C3.10.3.4.1. Approve the OMB 83-I package;

C3.10.3.4.2. Approve it on a conditional basis;

C3.10.3.4.3. Return it for revision;

C3.10.3.4.4. Disapprove it; or

C3.10.3.4.5. Take no action.

Note: If OMB does not act within 60 days, the Agency may request and OMB shall assign a control number, valid for a period not to exceed one year. If the information collection request is approved, OMB assigns an OMB control number, normally valid for a period not to exceed three years, and notifies WHS/DIOR.

C3.10.3.5. Approval Notification. WHS/DIOR receives written notification from OMB, and forwards this notification to the Component IMCO. The OSD Component IMCO distributes the OMB Notification to the action office sponsoring the information collection.

C3.10.3.6. Appeal Provisions. If OMB disapproves an information collection and the DoD or OSD Component wants to appeal the decision, the respective IMCO and WHS/DIOR should be consulted to determine the best course of action for the Department of Defense.

C3.11. PROCEDURES TO REVISE OR EXTEND DOD PUBLIC INFORMATION REQUIREMENTS

C3.11.1. Major Revisions or Extensions. Major revisions or extensions of over three months are accomplished by submission of an OMB 83-I package.

C3.11.2. Minor Revisions. Minor revisions can generally be accomplished through submission of an OMB Form 83-C, "Paperwork Reduction Act Change Worksheet" (See figure C3.F8.). This form must be coordinated with the IMCO and submitted to WHS/DIOR for review and forwarding to OMB. Minor revisions do not substantially modify a collection of information. A minor revision would include reducing the burden hours, the number of respondents, or the annual reporting or recordkeeping costs.

C3.11.3. Extensions. Emergency extensions for a maximum period of 90 days may be requested by submission of OMB Form 83-E, "Paperwork Reduction Act Emergency Extension" (See figure C3.F9.). Extensions will be considered by OMB only if they meet the criteria of an emergency approval as defined in Chapter 35 of Title 44 U.S.C. (reference (g)). The use of extensions is strongly discouraged by OMB. Insufficient planning or administrative oversight do not warrant using an extension.

C3.12. PROCEDURES TO CANCEL DOD PUBLIC INFORMATION REQUIREMENTS

DoD and OSD Components may cancel an information collection approved by OMB by submission of an OMB Form 83-C through the appropriate IMCO to WHS/DIOR requesting that an information collection be canceled. WHS/DIOR will forward the request to OMB, and upon notification of OMB cancellation, update the DoD information collection inventory, and inform the Component IMCO accordingly. Cancellation of information collections within six months of normal expiration of OMB approval may be effected through attrition.

C3.13. REQUEST FOR EMERGENCY CLEARANCE

C3.13.1. OMB Criteria. Within the Department of Defense, the CIO may request emergency processing of a collection of information under the following circumstances:

C3.13.1.1. When the collection of information is needed prior to the expiration of time periods established in Chapter 35 of Title 44 U.S.C. (reference (g)), and is essential to the mission of the Agency; and

C3.13.1.2. When the Agency cannot reasonably comply with the normal clearance procedures under Chapter 35 of Title 44 U.S.C. (reference (g)) because:

C3.13.1.2.1. Public harm is reasonably likely to result if normal clearance procedures are followed;

C3.13.1.2.2. An unanticipated event has occurred; or

C3.13.1.2.3. The use of normal clearance procedures is reasonably likely to prevent or disrupt the collection of information or is reasonably likely to cause a statutory or court ordered deadline to be missed.

C3.13.1.3. Public harm would be prevented if, for example, strategies to combat a public health epidemic depend on information in a survey that needs to be fielded immediately. An example of an unanticipated event would be a natural disaster that has led to the need to provide benefits quickly to the victims. The use of emergency clearance procedures is warranted if a new statute is passed that requires implementation of an information collection within clearly shorter time frames called for in Chapter 35 of Title 44 U.S.C. (reference (g)).

C3.13.2. Limited Approval. An OMB approval and the control number assigned to collections of information approved under the emergency processing procedures are valid for not more than 180 days from the date the Agency requested approval. During the 180 day period, a Component has adequate time to prepare a follow-on OMB 83-I collection package using the procedures for normal processing.

C3.13.3. OMB 83-I Package. There are distinct, although minor differences in processing the OMB 83-I collection package when requesting emergency processing, as discussed in paragraph C3.10.2., Item 4, above.

C3.13.4. Advance Planning. Components must plan in advance to avoid disrupting ongoing program responsibilities. Lack of planning and administrative oversight will not be used to circumvent the time provisions of Chapter 35 of Title 44 U.S.C. (reference (g)).

C3.14. GENERIC CLEARANCES

C3.14.1. Streamlined Process. OMB has devised the "generic clearance" to streamline the clearance process in "Resource Manual for Customer Surveys" (reference (q)). A generic clearance is a master plan for conducting one or more data collections termed "tasks." Review occurs in two steps: a full

review of the overall plan followed by quick review of the actual details of each task.

C3.14.2. Scope. The generic clearance involves advance approval of a well-defined class of low-burden data collection. The tasks are not fully defined until actually used. An example of this type of clearance would encompass a series of customer satisfaction surveys. A generic clearance typically includes a set of agreements negotiated between the sponsoring agency and OMB, establishing data collection and usage, a burden cap, a periodic reporting requirement to update the OMB docket, and a commitment by OMB to review any specific application quickly.

C3.14.3. Requirements. The overall plan must be subjected to the full clearance process: plan and 60-day Federal Register notice must provide the public with a basis for comment similar to a collection approved under normal clearance procedures. The plan must be managed so that there are no controversies that bypass the public comment process. Controversies arising at the task stage are not only inconsistent with the concept of the generic clearance, they are inconsistent with Chapter 35 of Title 44 U.S.C. (reference (g)).

C3.15. INVENTORY OF DOD PUBLIC INFORMATION REQUIREMENTS

C3.15.1. Overview.

C3.15.1.1. WHS/DIOR maintains an inventory of OMB-approved reports, which includes data such as the OMB control number, report title, expiration date, requesting agency, authority, form numbers, current burden hours, information collection budget burden hours, and other data. This data base is used to perform workload assessments, to support IRM reviews, and for general reports management activities. It is this inventory to which the statutorily mandated reductions discussed in paragraph C3.9.3., of this Chapter, will be applied.

C3.15.1.2. OMB maintains an inventory of approved information collections that it uses to produce monthly reports such as the "Summary of Active Information Collections Approved Under the Paperwork Reduction Act." DIOR reconciles this report with the WHS/DIOR inventory on a monthly basis.

C3.15.2. Relationship to the ICB. The ICB is the fiscal year-end goal of minimizing burden hours imposed on the public by the Department of Defense, whereas the inventory of OMB-approved information collections reflects the actual burden hours currently imposed on the public by the Department. Keeping the inventory of information collections up to date is vital to the

effective management of the program for the Department of Defense.

C3.15.3. Making Changes to the Inventory. Changes to the OMB inventory are initiated by submitting an OMB 83-I package, an OMB Form 83-C, "Paperwork Reduction Act Change Worksheet", or an OMB Form 83-E, "Paperwork Reduction Act Emergency Extension" through the IMCO to WHS/DIOR. These forms are available on the Internet under DefenseLINK, Publications. If there is a question as to which form is appropriate for submission in a particular case, contact WHS/DIOR for guidance.

C3.15.4. Output Reports

C3.15.4.1. Monthly Report to IMCO. Each month, WHS/DIOR sends a report to appropriate IMCOs that provides the latest status of reports control at the DoD level. This report includes those collections approved by OMB during the report month; collections that expired and were canceled during the report month; and collections that will expire during the next six report months.

C3.15.4.2. OMB 55-day Report. Each month, and more frequently if requested, WHS/DIOR provides appropriate OMB desk officers with a listing of pending proposals that have been under review at OMB for at least 55 days. This serves to alert OMB that the mandatory 60-day approval date as defined by the Act is imminent.

C3.15.4.3. Special Reports. WHS/DIOR from time to time shall forward special reports to advise IMCOs of the status of their OMB information collection burden hours versus their OMB hours. These reports are helpful particularly toward the end of the fiscal year.

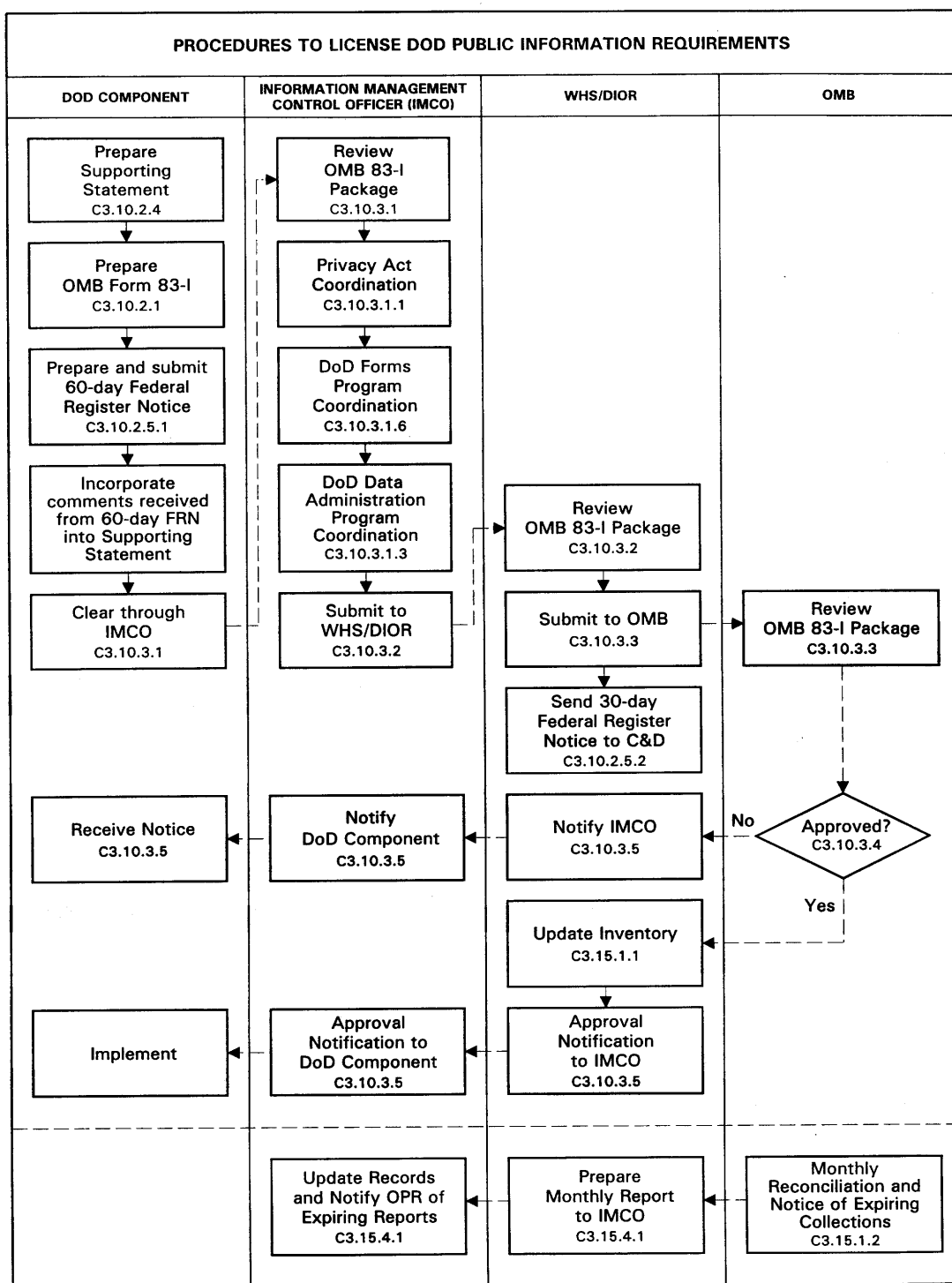


Figure C3.F1. Procedures to License DoD Public Information Requirements

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Figure C3.F2. OMB Form 83-I, "Paperwork Reduction Act
Submission" Sample

OMB CONTROL NUMBER 0701 -	TITLE Air Force ROTC Scholarship Nomination
19. CERTIFICATION FOR PAPERWORK REDUCTION ACT SUBMISSIONS	
a. PROGRAM OFFICIAL CERTIFICATION (Internal DoD Use Only)	
(1) Signature [Signature of Program Official; See Paragraph C3.10.2.2]	(2) Date April 1, 1997
<p>On behalf of this Federal agency, I certify that the collection of information encompassed by this request complies with 5 CFR 1320.9.</p> <p>NOTE: The text of 5 CFR 1320.9, and the related provisions of 5 CFR 1320.8(b)(3), appear at the end of the instructions. <i>The certification is to be made with reference to those regulatory provisions as set forth in the instructions.</i></p> <p>The following is a summary of the topics, regarding the proposed collection of information, that the certification covers:</p> <ul style="list-style-type: none"> (a) It is necessary for the proper performance of agency functions; (b) It avoids unnecessary duplication; (c) It reduces burden on small entities; (d) It uses plain, coherent, and unambiguous language that is understandable to respondents; (e) Its implementation will be consistent and compatible with current reporting and recordkeeping practices; (f) It indicates the retention periods for recordkeeping requirements; (g) It informs respondents of the information called for under 5 CFR 1320.8(b)(3) about: <ul style="list-style-type: none"> (i) Why the information is being collected; (ii) Use of information; (iii) Burden estimate; (iv) Nature of response (voluntary, required for a benefit, or mandatory); (v) Nature and extent of confidentiality; and (vi) Need to display currently valid OMB control number; (h) It was developed by an office that has planned and allocated resources for the efficient and effective management and use of the information to be collected (see note in Item 19 of the instructions); (i) If applicable, it uses effective and efficient statistical survey methodology; and (j) It makes appropriate use of information technology. <p>If you are unable to certify compliance with any of these provisions, identify the item below and explain the reason in Item 18 of the Supporting Statement.</p>	
b. SENIOR OFFICIAL OR DESIGNEE CERTIFICATION	
(1) Signature [Signature of Director, DIOR/WHs]	(2) Date April 14, 1997

OMB FORM 83-1 (BACK), 10/95

Figure C3.F2. OMB Form 83-I, "Paperwork Reduction Act Submission" Sample, continued

INSTRUCTIONS FOR REQUESTING OMB REVIEW UNDER THE PAPERWORK REDUCTION ACT	
<p>Please answer all questions and have the Senior Official or designee sign the form. These instructions should be used in conjunction with 5 CFR 1320, which provides information on coverage, definitions, and other matters of procedure and interpretation under the Paperwork Reduction Act of 1995.</p> <p>1. Agency/Subagency Originating Request Provide the name of the agency or subagency originating the request. For most Cabinet-level agencies, a subagency designation is also necessary. For non-Cabinet agencies, the subagency designation is generally unnecessary.</p> <p>2. OMB Control Number a. If the information collection in this request has previously received or now has an OMB control or comment number, enter the number. b. Mark "None" if the information collection in this request has not previously received an OMB control number. Enter the four digit agency code for your agency.</p> <p>3. Type of Information Collection (X one) a. Mark "New collection" when the collection has not previously been used or sponsored by the agency. b. Mark "Revision" when the collection is currently approved by OMB, and the agency request includes a material change to the collection instrument, instructions, its frequency of collection, or the use to which the information is to be put. c. Mark "Extension" when the collection is currently approved by OMB and the agency wishes only to extend the approval past the current expiration date without making any other material change in the collection instrument, instructions, its frequency of collection, or the use to which the information is to be put. d. Mark "Reinstatement without change" when the collection previously had OMB approval, but the approval has expired or was withdrawn before this submission was made, and there is no change to the collection. e. Mark "Reinstatement with change" when the collection previously had OMB approval, but the approval has expired or was withdrawn before this submission was made, and there is change to the collection. f. Mark "Existing collection in use without OMB control number" when the collection is currently in use but does not have a currently valid OMB control number.</p> <p>4. Type of Review Requested (X one) a. Mark "Regular" when the collection is submitted under 5 CFR 1320.10, 1320.11, or 1320.12 with a standard 60 day review schedule. b. Mark "Emergency" when the agency is submitting the request under 5 CFR 1320.13 for emergency processing and provides the required supporting material. Provide the date by which the agency requests approval. c. Mark "Delegated" when the agency is submitting the collection under the conditions OMB has granted the agency delegated authority.</p> <p>5. Small Entities Indicate whether this information collection will have a significant impact on a substantial number of small entities. A small entity may be (1) a small business which is deemed to be one that is independently owned and operated and that is not dominant in its field of operation; (2) a small organization that is any not-for-profit enterprise that is independently owned and operated and is not dominant in its field; or (3) a small government jurisdiction which is a government of a city, county, town, township, school district, or special district with a population of less than 50,000.</p> <p>6. Requested Expiration Date a. Mark "Three years" if the agency requests a three year approval for the collection. b. Mark "Other" if the agency requests approval for less than three years. Specify the month and year of the requested expiration date.</p>	<p>7. Title Provide the official title of the information collection. If an official title does not exist, provide a description which will distinguish this collection from others.</p> <p>8. Agency Form Number(s) (If applicable) Provide any form number the agency has assigned to this collection of information. Separate each form number with a comma.</p> <p>9. Keywords Select and list at least two keywords (descriptors) from the "Federal Register Thesaurus of Indexing Terms" that describe the subject area(s) of the information collection. Other terms may be used but should be listed after those selected from the thesaurus. Separate keywords with commas. Keywords should not exceed two lines of text.</p> <p>10. Abstract Provide a statement, limited to five lines of text, covering the agency's need for the information, uses to which it will be put, and a brief description of the respondents.</p> <p>11. Affected Public Mark all categories that apply, denoting the primary public with a "P" and all others that apply with "X."</p> <p>12. Obligation to Respond Mark all categories that apply, denoting the primary obligation with a "P" and all others that apply with "X." a. Mark "Voluntary" when the response is entirely discretionary and has no direct effect on any benefit or privilege for the respondent. b. Mark "Required to obtain or retain benefits" when the response is elective, but is required to obtain or retain a benefit. c. Mark "Mandatory" when the respondent must reply or face civil or criminal sanctions.</p> <p>13. Annual Reporting and Recordkeeping Hour Burden a. Enter the number of respondents and/or recordkeepers. If a respondent is also a recordkeeper, report the respondent only once. b. Enter the number of responses provided annually. For recordkeeping as compared to reporting activity, the number of responses equals the number of recordkeepers. (1) Enter the estimated percentage of responses that will be submitted/collected electronically using magnetic media (i.e., diskette), electronic mail, or electronic data interchange. Facsimile is NOT considered an electronic submission. c. Enter the total annual recordkeeping and reporting hour burden. d. Enter the burden hours currently approved by OMB for this collection of information. Enter zero (0) for any new submission or for any collection whose OMB approval has expired. e. Enter the difference by subtracting line d from line c. Record a negative number (d larger than c) within parentheses. f. Explain the difference. The difference in line e must be accounted for in lines f.(1) and f.(2). (1). "Program change" is the result of deliberate Federal government action. All new collections and any subsequent revision of existing collections (e.g. the addition or deletion of questions) are recorded as program changes. (2). "Adjustment" is a change that is not the result of a deliberate Federal government action. Changes resulting from new estimates or actions not controllable by the Federal government are recorded as adjustments.</p> <p>14. Annual Reporting and Recordkeeping Cost Burden (In thousands of dollars) The costs identified in this item must exclude the cost of hour burden identified in Item 13. a. Enter total dollar amount of annualized cost for all respondents of any associated capital or start-up costs. b. Enter recurring annual dollar amount of cost for all respondents associated with operating or maintaining systems or purchasing services. c. Enter total (14.a. + 14.b.) annual reporting and recordkeeping cost burden.</p>

OMB FORM 83-I INST, 10/95

Page 1 of 4 Pages
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Figure C3.F3. OMB Form 83-I INST, "Instructions for Requesting OMB Review Under the Paperwork Reduction Act"

INSTRUCTIONS FOR REQUESTING OMB REVIEW UNDER THE PAPERWORK REDUCTION ACT (Continued)	CERTIFICATION REQUIREMENT FOR PAPERWORK REDUCTION ACT SUBMISSIONS
<p>14. (Continued) d. Enter any cost burden currently approved by OMB for this collection of information. Enter zero (0) if this is the first submission after October 1, 1995. e. Enter the difference by subtracting line d from line c. Record a negative number (d larger than c) within parentheses. f. Explain the difference. The difference in line e must be accounted for in lines f.(1) and f.(2). (1) "Program change" is the result of deliberate Federal government action. All new collections and any subsequent revisions or changes resulting in cost changes are recorded as program changes. (2) "Adjustment" is a change that is not the result of a deliberate Federal government action. Changes resulting from new estimations or actions not controllable by the Federal government are recorded as adjustments.</p> <p>15. Purpose of Information Collection Mark all categories that apply, denoting the primary purpose with a "P" and all others that apply with "X." a. Mark "Application for benefits" when the purpose is to participate in, receive, or qualify for a grant, financial assistance, etc., from a Federal agency or program. b. Mark "Program evaluation" when the purpose is a formal assessment, through objective measures and systematic analysis, of the manner and extent to which Federal programs achieve their objectives or produce other significant effects. c. Mark "General purpose statistics" when the data is collected chiefly for use by the public or for general Government use without primary reference to the policy or program operations of the agency collecting the data. d. Mark "Audit" when the purpose is to verify the accuracy of accounts and records. e. Mark "Program planning or management" when the purpose relates to progress reporting, financial reporting and grants management, procurement and quality control, or other administrative information that does not fit into any other category. f. Mark "Research" when the purpose is to further the course of research, rather than for a specific program purpose. g. Mark "Regulatory or compliance" when the purpose is to measure compliance with laws or regulations.</p> <p>16. Frequency of Recordkeeping or Reporting Mark "Recordkeeping" if the collection of information explicitly includes a recordkeeping requirement. Mark "Third party disclosure" if a collection of information includes third-party disclosure requirements as defined by 1320.3(c). Mark "Reporting" for information collections that involve reporting and check the frequency of reporting that is requested or required of a respondent. If the reporting is on "an event" basis, mark "On Occasion".</p> <p>17. Statistical Methods Mark "Yes" if the information collection uses statistical methods such as sampling or imputation. Generally, mark "No" for applications and audits (unless a random auditing scheme is used). Mark "Yes" for statistical collections, most research collections, and program evaluations using scientific methods. For other types of data collections, the use of sampling, imputation, or other statistical estimation techniques should dictate the response for this item. Ensure that supporting documentation is provided in accordance with Section B of the Supporting Statement.</p> <p>18. Agency Contact Provide the name and telephone number of the agency person best able to answer questions regarding the content of this submission.</p> <p>19. Certification for Paperwork Reduction Act Submissions By signing this statement, the Program Official certifies internally to WHS/DIOR that the collection of information encompassed by the request complies with 5 CFR 1320.9. However, the signature of the Senior Official or designee certifies to OMB, for the Department of Defense, that the information encompassed by the request complies with the provisions of 5 CFR 1320.9. Provisions of this certification that the agency cannot comply with should be identified here and fully explained in Item 18 of the attached Supporting Statement. NOTE: The Office that "develops" and "uses" the information to be collected is the office that "conducts or sponsors" the collection of information (see 5 CFR 1320.3(d)).</p>	<p>5 CFR 1320.9 reads "As part of the agency submission to OMB of a proposed collection of information, the agency (through the head of the agency, the Senior Official or their designee), shall certify (and provide a record supporting such certification) that the proposed collection of information - "(a) is necessary for the proper performance of the functions of the agency, including that the information to be collected will have practical utility; "(b) is not unnecessarily duplicative of information otherwise reasonably accessible to the agency; "(c) reduces to the extent practicable and appropriate the burden on persons who shall provide information to or for the agency, including with respect to small entities, as defined in the Regulatory Flexibility Act (5 U.S.C. 601(6)), the use of such techniques as: "(1) establishing differing compliance or reporting requirements or timetables that take into account the resources available to those who are to respond; "(2) the clarification, consolidation, or simplification of compliance and reporting requirements; or collection of information, or any part thereof; "(3) an exemption from coverage of the collection of information, or any part thereof; "(d) is written using plain, coherent, and unambiguous terminology and is understandable to those who are to respond; "(e) is to be implemented in ways consistent and compatible, to the maximum extent practicable, with the existing reporting and recordkeeping practices of those who are to respond; "(f) indicates for each recordkeeping requirement the length of time persons are required to maintain the records specified; "(g) informs potential respondents of the information called for under 1320.8(b)(3); (see below) "(h) has been developed by an office that has planned and allocated resources for the efficient and effective management and use of the information to be collected, including the processing of the information in a manner which shall enhance, where appropriate, the utility of the information to agencies and the public; "(i) uses effective and efficient statistical survey methodology appropriate to the purpose for which the information is to be collected; and "(j) to the maximum extent practicable, uses appropriate information technology to reduce burden and improve data quality, agency efficiency and responsiveness to the public."</p> <p>NOTE: 5 CFR 1320.8(b)(3) requires that each collection of information: "(3) informs and provides reasonable notice to the potential persons to whom the collection of information is addressed of: "(i) the reasons the information is planned to be and/or has been collected; "(ii) the way such information is planned to be and/or has been used to further the proper performance of the functions of the agency; "(iii) an estimate, to the extent practicable, of the average burden of the collection (together with a request that the public direct to the agency any comments concerning the accuracy of this burden estimate and any suggestions for reducing this burden); "(iv) whether responses to the collection of information are voluntary, required to obtain or retain a benefit (citing authority), or mandatory (citing authority); "(v) the nature and extent of confidentiality to be provided, if any (citing authority); and "(vi) the fact that an agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number."</p>

Figure C3.F3. OMB Form 83-I INST, "Instructions for Requesting OMB Review Under the Paperwork Reduction Act," continued

SUPPORTING STATEMENT FOR PAPERWORK REDUCTION ACT SUBMISSIONS	
<p>GENERAL INSTRUCTIONS</p> <p>A Supporting Statement, including the text of the notice to the public required by 5 CFR 1320.5(e)(i)(iv) and its actual or estimated date of publication in the Federal Register, must accompany each request for approval of a collection of information. The Supporting Statement must be prepared in the format described below, and must contain the information specified in Section A below. If an item is not applicable, provide a brief explanation. When item 17 of the OMB Form 83-I is marked "Yes," Section B of the Supporting Statement must be completed. OMB reserves the right to require the submission of additional information with respect to any request for approval.</p> <p>SPECIFIC INSTRUCTIONS</p> <p>A. Justification.</p> <ol style="list-style-type: none">1. Explain the circumstances that make the collection of information necessary. Identify any legal or administrative requirements that necessitate the collection. Attach a copy of the appropriate section of each statute and regulation mandating or authorizing the collection of information.2. Indicate how, by whom, and for what purpose the information is to be used. Except for a new collection, indicate the actual use the agency has made of the information received from the current collection.3. Describe whether, and to what extent, the collection of information involves the use of automated, electronic, mechanical, or other technological collection techniques or other forms of information technology, e.g. permitting electronic submission of responses, and the basis for the decision for adopting this means of collection. Also describe any consideration of using information technology to reduce burden.4. Describe efforts to identify duplication. Show specifically why any similar information already available cannot be used or modified for use for the purposes described in item 2. above.5. If the collection of information impacts small businesses or other small entities (Item 5 of OMB Form 83-I), describe any methods used to minimize burden.6. Describe the consequence to Federal program or policy activities if the collection is not conducted or is conducted less frequently, as well as any technical or legal obstacles to reducing burden.7. Explain any special circumstances that require the collection to be conducted in a manner:<ul style="list-style-type: none">- requiring respondents to report information to the agency more often than quarterly;- requiring respondents to prepare a written response to a collection of information in fewer than 30 days after receipt of it;- requiring respondents to submit more than an original and two copies of any document;- requiring respondents to retain records, other than health, medical, government contract, grant-in-aid, or tax records, for more than three years;- in connection with a statistical survey, that is not designed to produce valid and reliable results that can be generalized to the universe of study;- requiring the use of a statistical data classification that has not been reviewed and approved by OMB;	<p>7. (Continued)</p> <ul style="list-style-type: none">- that includes a pledge of confidentiality that is not supported by authority established in statute or regulation, that is not supported by disclosure and data security policies that are consistent with the pledge, or which unnecessarily impedes sharing of data with other agencies for compatible confidential use; or- requiring respondents to submit proprietary trade secrets, or other confidential information unless the agency can demonstrate that it has instituted procedures to protect the information's confidentiality to the extent permitted by law. <p>8. If applicable, provide a copy and identify the date and page number of publication in the Federal Register of the agency's notice, required by 5 CFR 1320.8(d), soliciting comments on the information collection prior to submission to OMB. Summarize public comments received in response to that notice and describe actions taken by the agency in response to these comments. Specifically address comments received on cost and hour burden.</p> <p>Describe efforts to consult with persons outside the agency to obtain their views on the availability of data, frequency of collection, the clarity of instructions and recordkeeping, disclosure, or reporting format (if any), and on the data elements to be recorded, disclosed, or reported.</p> <p>Consultation with representatives of those from whom information is to be obtained or those who must compile records should occur at least once every 3 years - even if the collection of information activity is the same as in prior periods. There may be circumstances that mitigate against consultation in a specific situation. These circumstances should be explained.</p> <p>9. Explain any decision to provide any payment or gift to respondents, other than reenumeration of contractors or grantees.</p> <p>10. Describe any assurance of confidentiality provided to respondents and the basis for the assurance in statute, regulation, or agency policy.</p> <p>11. Provide additional justification for any questions of a sensitive nature, such as sexual behavior and attitudes, religious beliefs, and other matters that are commonly considered private. This justification should include the reasons why the agency considers the questions necessary, the specific uses to be made of the information, the explanation to be given to persons from whom the information is requested, and any steps to be taken to obtain their consent.</p> <p>12. Provide estimates of the hour burden of the collection of information. The statement should:<ul style="list-style-type: none">- Indicate the number of respondents, frequency of response, annual hour burden, and an explanation of how the burden was estimated. Unless directed to do so, agencies should not conduct special surveys to obtain information on which to base hour burden estimates. Consultation with a sample (fewer than 10) of potential respondents is desirable. If the hour burden on respondents is expected to vary widely because of differences in activity, size, or complexity, show the range of estimated hour burden and explain the reasons for the variance. Generally, estimates should not include burden hours for customary and usual business practices.- If the request for approval covers more than one form, provide separate hour burden estimates for each form and aggregate the hour burdens in Item 13 of OMB Form 83-I.- Provide estimates of annualized cost to respondents for the hour burdens for collections of information, identifying and using appropriate wage rate categories. The cost of contracting out or paying outside parties for information collection activities should not be included here. Instead, this cost should be included in Item 13.</p>

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Figure C3.F3. OMB Form 83-I INST, "Instructions for Requesting OMB Review Under the Paperwork Reduction Act," continued

SUPPORTING STATEMENT FOR PAPERWORK REDUCTION ACT SUBMISSIONS (Continued)	
<p>A. Justification (Continued)</p> <p>13. Provide an estimate of the total annual cost burden to respondents or recordkeepers resulting from the collection of information. (Do not include the cost of any hour burden shown in Items 12 and 14.)</p> <ul style="list-style-type: none"> - The cost estimate should be split into two components: (a) a total capital and start-up cost component (annualized over its expected useful life) and (b) a total operation and maintenance component. The estimates should take into account costs associated with generating, maintaining, and disclosing or providing the information. Include descriptions of methods used to estimate major cost factors including system and technology acquisition, expected useful life of capital equipment, the discount rate(s), and the time period over which costs will be incurred. Capital and start-up costs include, among other items, preparations for collecting information such as purchasing computers and software; monitoring, sampling, drilling and testing equipment; and record storage facilities. - If cost estimates are expected to vary widely, agencies should present ranges of cost burdens and explain the reasons for the variance. The cost of purchasing or contracting out information collection services should be a part of this cost burden estimate. In developing cost burden estimates, agencies may consult with a sample of respondents (fewer than 10), utilize the 60-day pre-OMB submission public comment process and use existing economic or regulatory impact analysis associated with the rulemaking containing the information collection, as appropriate. - Generally, estimates should not include purchases of equipment or services, or portions thereof, made: (1) prior to October 1, 1995, (2) to achieve regulatory compliance with requirements not associated with the information collection, (3) for reasons other than to provide information or keep records for the government, or (4) as part of customary and usual business or private practices. <p>14. Provide estimates of annualized cost to the Federal Government. Also, provide a description of the method used to estimate cost, which should include quantification of hours, operational expenses (such as equipment, overhead, printing, and support staff), and any other expense that would not have been incurred without this collection of information. Agencies may also aggregate cost estimates from paragraphs 12, 13, and 14 in a single table.</p> <p>15. Explain the reasons for any program changes or adjustments reported in Items 13 or 14 of the OMB Form 83-I.</p> <p>16. For collections of information whose results will be published, outline plans for tabulation and publication. Address any complex analytical techniques that will be used. Provide the time schedule for the entire project, including beginning and ending dates of the collection of information, completion of report, publication dates, and other actions.</p>	<p>17. If seeking approval to not display the expiration date for OMB approval of the information collection, explain the reasons that display would be inappropriate.</p> <p>18. Explain each exception to the certification statement identified in Item 19, "Certification for Paperwork Reduction Act Submissions," of OMB Form 83-I.</p> <p>B. Collections of Information Employing Statistical Methods.</p> <p>The agency should be prepared to justify its decision not to use statistical methods in any case where such methods might reduce burden or improve accuracy of results. When Item 17 on the OMB Form 83-I is marked "Yes," the following documentation should be included in the Supporting Statement to the extent that it applies to the methods proposed:</p> <ol style="list-style-type: none"> 1. Describe (including a numerical estimate) the potential respondent universe and any sampling or other respondent selection method to be used. Data on the number of entities (e.g., establishments, State and local government units, households, or persons) in the universe covered by the collection and in the corresponding sample are to be provided in tabular form for the universe as a whole and for each of the strata in the proposed sample. Indicate expected response rates for the collection as a whole. If the collection had been conducted previously, include the actual response rate achieved during the last collection. 2. Describe the procedures for the collection of information including: <ul style="list-style-type: none"> - Statistical methodology for stratification and sample selection. - Estimation procedure. - Degree of accuracy needed for the purpose described in the justification. - Unusual problems requiring specialized sampling procedures, and - Any use of periodic (less frequent than annual) data collection cycles to reduce burden. 3. Describe methods to maximize response rates and to deal with issues of non-response. The accuracy and reliability of information collected must be shown to be adequate for intended uses. For collections based on sampling, a special justification must be provided for any collection that will not yield "reliable" data that can be generalized to the universe studied. 4. Describe any tests of procedures or methods to be undertaken. Testing is encouraged as an effective means of refining collections of information to minimize burden and improve utility. Tests must be approved if they call for answers to identical questions from 10 or more respondents. A proposed test or set of tests may be submitted for approval separately or in combination with the main collection of information. 5. Provide the name and telephone number of individuals consulted on statistical aspects of the design and the name of the agency unit, contractor(s), grantee(s), or other person(s) who will actually collect and/or analyze the information for the agency.

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Figure C3.F3. OMB Form 83-I INST, "Instructions for Requesting OMB Review Under the Paperwork Reduction Act," continued

SUPPORTING STATEMENT OUTLINE

(Refer to Figure C3.F3., OMB83-I INST for greater detail)

A. JUSTIFICATION

1. Need for the Information Collection

Describe the information collection activity under review. Explain precisely why it is necessary; i.e., why the Department of Defense needs the information required by the proposed collection. Identify any legal or administrative requirements that mandate the collection, and include the title page and relevant portions thereof in your proposal package. Also include a copy of the relevant portions of any other statutes or regulation referenced in this supporting statement.

2. Use of the Information

Be specific in describing how, by whom, and for what purpose the information is to be used. Unless this is a new collection, describe how the information has been used in the past.

3. Use of Information Technology

Does the information collection involve the use of technological collection techniques; e.g., electronic response submission? Describe any consideration given to the use of information technology in reducing the respondent burden or why its use is not appropriate to the specific collection.

4. Non-duplication

Is there information already available which can be used, or modified for use, for the purposes of this collection?

5. Burden on Small Business

If any of the respondents are small businesses or other small entities, discuss efforts taken to minimize the burden imposed by this collection; i.e., developing separate or simplified requirements, etc.

6. Less Frequent Collection

What would be the consequences if the collection were conducted less frequently. If there are technical or legal obstacles to reducing the burden in this manner, explain.

Figure C3.F4. Supporting Statement Outline

7. Paperwork Reduction Act Guidelines

Explain any special circumstances that require the collection to be conducted in a manner inconsistent with the guidelines delineated in 5 CFR 1320.5(d)(2).

8. Consultation and Public Comments

a. Identify the date and page number of publication in the Federal Register of the agency's 60-day notice, required by 5 CFR 1320.8(d), soliciting comments on the information collection prior to submission to OMB. Include a summary of any public comments received as a result of the 60-day Federal Register Notice, and address actions taken in response to those comments. If no comments were received, so state.

b. Describe efforts made to consult with persons outside the sponsoring Agency regarding availability of requested information, frequency of collection, clarity of instructions, etc. Consultation with respondents, or their representatives, should occur at least every 3 years, even if the information collection does not change. If there are circumstances that mitigate against consultation, explain. This item does not refer to consultants, per se. Rather, it addresses the act of consulting with others to determine continued viability of collection elements, procedures, etc.

9. Gifts or Payment

Explain any decision to provide payment or gifts to respondents, other than remuneration of contractors or grantees.

10. Confidentiality

Describe the extent of confidentiality inherent in the information collection. Address such things as protection provided against disclosure of information containing personal or organizational identifiers, disposal of completed forms or surveys, etc.

Specifically address any assurance of confidentiality provided to respondents. If there is a basis for this assurance in statute, regulation, or Agency policy, please explain.

11. Sensitive Questions

Provide thorough justification for any questions of a

Figure C3.F4. Supporting Statement Outline, continued

sensitive nature, such as those pertaining to sexual behavior or attitudes, religious beliefs, race and/or ethnicity, or other matters usually considered private. Does the question violate the Privacy Act (reference (o)), as implemented by DoD 5400.11-R (reference (d))? What explanation of the necessity for collecting this data will be provided the respondents prior to their responding?

12. Respondent Burden, and its Labor Costs

a. Estimation of Respondent Burden

Explain how the burden estimate reported in Item 13 of the OMB Form 83-I was determined. While not required, consultation with a sample of the potential respondents is desirable. Remember, however, that your sample must be of fewer than 10 potential respondents or the sample effort itself must be approved by OMB.

If the collection consists of more than a single instrument of collection; i.e., form, survey, questionnaire, etc., provide burden estimates for each instrument, and aggregate the total burden in Item 13, of OMB Form 83-I.

b. Labor Cost of Respondent Burden

Provide an estimate of annualized cost to respondents of only the burden hours imposed by the collection. Do not include capital, start-up, contracting out, or operations and maintenance costs. Do not include capital, start-up, or contracting out costs in this item. They should be shown in Item 13.

13. Respondent Costs Other Than Burden Hour Costs

Provide an estimate of annualized costs to respondents, other than the burden hour costs addressed in Item 12, resulting from the collection of information. This item expands upon the entries in Item 14 of OMB Form 83-I. Break this item into two components:

a. total capital and start-up costs annualized over the expected useful life of the item(s), and

b. total operation and maintenance costs. Take into account those costs associated with generating, maintaining, and disclosing or providing the information.

Figure C3.F4. Supporting Statement Outline, continued

NOTE: Capital and start-up costs include the purchase of computers and software; testing equipment; and record storage facilities, while O&M costs include such activities as contracting out for services and operational expenses, e.g., postage and printing. Generally, you need not address these costs if incurred prior to the October 1, 1995, implementation of Chapter 35 of Title 44 U.S.C.

14. Cost to the Federal Government

Annualize the costs incurred by the Federal Government in collecting and processing the information collected, and explain the methods used in determining these estimates. Include such elements as quantification of hours, operational expenses; i.e., equipment, overhead, printing, support staff, postage, contracting out for services, etc., and any other expense that would not have been incurred without this information collection. These costs, along with those estimated in items 12 and 13, may be aggregated in a single table.

15. Reasons for Change in Burden

Briefly explain the reason for change in burden, if any, as indicated in Item 13 of OMB Form 83-I. Remember that any proposal which starts from a current OMB inventory of "0" hours must be a Program Change, e.g., reinstatement of a previously approved collection for which approval has expired.

16. Publication of Results

If the results of the information collection will be published for statistical use, outline plans for tabulation, statistical analyses, and publication. Provide a timeline for the entire project including the beginning and ending dates of the actual collecting of information, estimated completion date of the report, its publication date, as well as any other scheduled actions.

17. Non-Display of OMB Expiration Date

If you are requesting approval to omit display of the expiration date of OMB approval on the instrument of collection, provide justification for this request.

18. Exceptions to "Certification for Paperwork Reduction Submissions"

Use this item to explain any provision of Item 19.a of Figure C3.F4. Supporting Statement Outline, continued

OMB Form 83-I to which you cannot certify. You should also have identified these items at the bottom of Item 19.a. Unless you can demonstrate that these exceptions are necessary to satisfy statutory requirements, or other substantial need, OMB will not approve the collection of information.

B. COLLECTIONS OF INFORMATION EMPLOYING STATISTICAL METHODS

If the collection of information employs statistical methods, it should be indicated in Item 17 of OMB Form 83-I, and the following information should be provided in this Supporting Statement:

1. Description of the Activity

Describe the potential respondent universe and any sampling or other method used to select respondents. Data on the number of entities covered in the collection should be provided in tabular form for the universe as a whole and for each of the strata in the proposed sample. Indicate the expected response rates for the collection as a whole, as well as the actual response rates achieved during the last collection, if previously conducted.

2. Procedures for the Collection of Information

Describe any of the following if they are used in the collection of information:

- a. Statistical methodologies for stratification and sample selection;
- b. Estimation procedures;
- c. Degree of accuracy needed for the Purpose discussed in the justification;
- d. Unusual problems requiring specialized sampling procedures; and
- e. Use of periodic or cyclical data collections to reduce respondent burden.

3. Maximization of Response Rates, Non-response, and Reliability

Figure C3.F4. Supporting Statement Outline, continued

Discuss methods used to maximize response rates and to deal with instances of non-response. Describe any techniques used to ensure the accuracy and reliability of responses is adequate for intended purposes. Additionally, if the collection is based on sampling, ensure that the data can be generalized to the universe under study. If not, provide special justification.

4. Tests of Procedures

Describe any tests of procedures or methods to be undertaken. Testing of potential respondents (9 or fewer) is encouraged as a means of refining proposed collections to reduce respondent burden, as well as to improve the collection instrument utility. These tests check for internal consistency and the effectiveness of previous similar collection activities.

5. Statistical Consultation and Information Analysis

a. Provide names and telephone number of individual(s) consulted on statistical aspects of the design.

b. Provide name and organization of person(s) who will actually collect and analyze the collected information.

Supporting Statement
Appointment of Chaplains for the Military Services

A. JUSTIFICATION

1. Need for Information Collection

Per 32 CFR part 65, in conjunction with 10 U.S.C. 532 and 591, professionally qualified clergy persons shall be appointed as chaplains to provide for the free exercise of religion for all members of the Military Services, their dependents, and other authorized persons. Since World War I, the professional qualifications of clergy have been certified by the faith group of which these clergy are members. Department of Defense-recognized faith groups are required to endorse clergy as fully qualified to serve as chaplains in the Armed Forces. No clergy may become a chaplain without endorsement, and loss of endorsement constitutes a loss of professional status. This information collection is needed to provide certification that clergy applying for chaplaincy in the Armed Forces are qualified members of a faith group recognized by the Department of Defense. It also is needed to certify the number of years of professional experience for each candidate.

DoD Directive 1304.19 requires that religious faith groups be officially recognized by the Department of Defense to endorse chaplains to the Military Services. This information collection is also needed to ensure that religious faith groups are appropriately organized and authorized by their constituencies to endorse clergy for service as chaplains in the Military Services.

2. Use of Information

There are two forms associated with this information collection. The DD Form 2088, "Certificate of Ecclesiastical Endorsement," is used whenever an ecclesiastical endorsing agency submits a clergy person as a candidate to become a chaplain. The ecclesiastical endorsing agency sends it to the Military Service that the clergy person wishes to join.

The Military Services are required to obtain a certification of the professional qualifications of clergy applying for the chaplaincy. This certification is rendered in the form of an ecclesiastical endorsement from the clergy person's religious faith group. An ecclesiastical endorsement is an essential part of the application process for clergy to become chaplains. The DD Form 2088 is used to certify that a member of

Figure C3.F5. Supporting Statement - Sample

the clergy is professionally qualified to become a chaplain. It requests information about name, address, professional experience, and previous military experience to be used in determining grade, date of rank, and eligibility for promotion for appointees to the chaplaincies of the Armed Forces. Both the military and the religious faith groups insist on ensuring that only professionally qualified clergy serve as chaplains. Without this formal process, the chaplaincy would cease to exist as a professional corps.

The DD Form 2741, "Department of Defense Ecclesiastical Endorsing Organization Verification/Reverification," information is used by religious faith groups seeking DoD recognition as ecclesiastical endorsing organizations for supplying chaplains to the Military Services. The information from the DD Form 2741 is collected whenever a religious faith group initially seeks recognition by the Department of Defense as an ecclesiastical endorsing agency; it is reverified every 3 years thereafter. The form is sent by the religious faith group to the Armed Forces Chaplains Board (AFCB).

Each religious faith group is required to certify that it is authorized by its membership to act as the sole agency certifying and endorsing clergy to serve as military chaplains. After initial certification, these organizations are required to reverify this information every 3 years. Information from the DD Form 2741 is used by the AFCB to determine whether a religious faith group should become (or remain) an ecclesiastical endorsing agency, able to endorse clergy for service as chaplains. The AFCB regularly supplies the military Chaplain Services with a list of recognized ecclesiastical endorsing agencies. The list is used in the chaplain recruitment/accession process to validate that candidates for the chaplaincy are endorsed by a group recognized by the Department of Defense.

The DD Form 2741, "Ecclesiastical Endorsing Organization Verification/Reverification," is used to request basic demographic information about religious denominations seeking to supply clergy persons to the Military Services to serve as chaplains. It requests the name of an official authorized to represent the organization to the Military Services, and it requires the organization to certify that it is authorized by its membership to act as the sole agency for certifying and endorsing clergy to serve as military chaplains.

The information collected from the DD Form 2088 has been used over the past several years by the three Military Services to

Figure C3.F5. Supporting Statement - Sample, continued

ensure that those clergy who applied to become chaplains were professionally qualified and appropriately endorsed by their respective religious faith groups.

3. Improved Information Technology

Because the Chaplain Services and the ecclesiastical endorsing agencies have not previously had widespread access to advanced information technologies, they have not been able to utilize electronic means of information collection. However, now that advanced technologies are available and widespread, the Chaplain Services are prepared to begin transmitting the information using electronic forms technology, beginning in October, 1996. Over the next 3 years, we estimate an annual average of 10% of the respondents will use electronic forms. Since we are not requiring the ecclesiastical endorsing agencies to possess the computers and software, we estimate that it will take several years to phase in a completely electronic system. Many, but not all, of the ecclesiastical endorsing agencies plan to obtain the software as part of their customary business and for reasons other than to provide information or to keep records for the Government. Until all the civilian agencies obtain the necessary software, we will need to continue providing printed forms. Total conversion to electronic submissions will ultimately reduce response time and mailing costs.

4. Efforts to Identify Duplication

No other Government Agency is responsible for this program. The three military chiefs of chaplains do not have any forms or information collection that duplicate the information collected. There is no other way to collect this information.

5. Methods Used to Minimize Burden on Small Entities

Collection of this information does not have a significant impact on small businesses.

6. Consequences of Not Collecting the Information

This information is collected only on occasion. If collections were stopped, the ability of the Department of Defense to establish eligibility for service as a military chaplain would cease to exist.

7. Special Circumstances

There are no special circumstances that require this

Figure C3.F5. Supporting Statement - Sample, continued

collection to be conducted in a manner inconsistent with the guidelines in 5 CFR 1320.5(d)(2).

8. Agency 60-Day Federal Register Notice and Consultations Outside of the Agency

This information collection was published in the Federal Register on January 26, 1996, pages 2494-2495. Consultation with the ecclesiastical endorsing agents regarding this information collection is done each December at the annual meeting of the National Conference on Ministry to the Armed Forces (NCMAF). At the 1995 conference, the ecclesiastical endorsing agencies attested that they are extremely pleased with the use of the DD Form 2088 and the entire endorsing process.

The DD Form 2741 was created by the Personnel Advisory Group of the Armed Forces Chaplains Board, in conjunction with NCMAF, when both groups recognized that DoD Directive 1304.19 requires an official process of verification/reverification of ecclesiastical endorsing agencies, and that the Department of Defense does not presently have a form for the requisite information collection.

9. Payments to Respondents

No payment or gift will be provided to the respondents.

10. Assurance of Confidentiality

This information becomes a part of the individual's military personnel file and is maintained by each Service and protected under the Privacy Act of 1974.

11. Sensitive Questions

There are no sensitive questions asked in this information collection.

12. Estimates of Response Burden and Annual Cost to the Respondent

a. Respondent Burden:

(1) <u>DD 2088</u>	
Response per respondent:	1
Number of respondents:	650
Hours per Response:	1
Annual Burden	650 hrs.

Figure C3.F5. Supporting Statement - Sample, continued

(2) DD 2741

Response per respondent: 1 every three years
Number of responses: 67 (average over
three years: 200 respondents divided by 3 years)
Hours per Response: 3
Annual Burden: 201 hrs.

Estimated average annual burden:

Number of Respondents 717
Responses Per Respondent 1
Total Annual Responses 717
Avg. Hours Per Response: 1.187
(Total annual hrs 851 divided by total annual
responses 717 equals average hrs per response
1.187)
Total annual burden: 851 hrs.
(Total annual responses 717 x average hrs. per
response 1.187 equals annual burden 851)

b. Annual Cost to Respondent:

Hourly pay for ecclesiastical endorsing agents: \$25.00
DD Form 2088: 650 forms @ one hour per form = \$16,250.00
DD Form 2741: 67 forms @ three hours per form = \$5,025.00

Total annual cost to respondent: \$21,275.00

13. Estimates of Cost Burden to the Respondent for Collection of Information

Estimate of the Total Annual Cost Burden Per Form

a. Total capital and start-up cost component: There are no start-up costs associated with this information collection. Respondents maintain the information for reasons other than to provide information or to keep records for the Government. Although we are not requiring the civilian agencies to purchase software packages, at the most recent meeting of the about 50 ecclesiastical endorsers noted that they have or are soon planning to obtain electronic forms software. We will be mailing diskettes of our forms to those agencies that have the software.

b. Total average annual operational and maintenance cost

(1) Mailing (total forms 717)

DD Form 2088: 650 forms at \$.32 per form = \$208.00

Figure C3.F5. Supporting Statement - Sample, continued

DD Form 2741: 67 forms at \$.64 per form = \$ 42.88

(2) DD Form 2741 - Supporting documentation
7 pages at \$.03 per page = \$.21 X 67
applications = \$ 14.07

TOTAL ANNUAL O&M COST: \$264.95

14. Estimated Annualized Cost to the Federal Government

a. Printing forms (OSD Printing Office) \$ 50.00
Diskettes(avg 7 boxes annually @ \$5.00 box) \$ 35.00

b. Accessioning officers reviewing and processing
the forms - hourly pay \$25.00 x 10 minutes =
\$4.16 per form 717 forms @ \$4.16 per forms \$2,982.72

c. Mailing
645 forms @ 32 cents per form \$207.04
72 diskettes @ 50 cents per diskette \$ 35.00

TOTAL ANNUAL COST: \$3,309.76

15. Changes in Burden

Program change is due to reinstatement, with change, of an
expired information collection.

16. Publication Plans/Time Schedule

The results for collection of this information will not be
published.

17. Approval Not to Display Expiration Date

Approval not to display an expiration date is not being
sought.

18. Exceptions to the Certification Statement

No exceptions to the certification statement are being
sought.

B. COLLECTIONS OF INFORMATION EMPLOYING STATISTICAL METHODS

This collection will not employ statistical methods.

Figure C3.F5. Supporting Statement - Sample, continued

[For collections employing statistical methods, as designated in Block (17) of OMB Form 83-I, Section (B) must be addressed.]

60 DAY FEDERAL REGISTER NOTICE

DEPARTMENT OF DEFENSE

Office of the Secretary

Proposed collection; comment request

AGENCY: Office of the Assistant Secretary of Defense for Health Affairs

ACTION: Notice

In compliance with Section 3506(c)(2)(A) of the Paperwork Reduction Act of 1995, the Office of the Assistant Secretary of Defense for Health Affairs announces the proposed reinstatement of a public information collection and seeks public comment on the provisions thereof. Comments are invited on: (a) whether the proposed collection of information is necessary for the proper performance of the functions of the agency, including whether the information shall have practical utility; (b) the accuracy of the agency's estimate of the burden of the proposed information collection; (c) ways to enhance the quality, utility, and clarity of the information to be collected; and (d) ways to minimize the burden of the information collection on respondents, including through the use of automated collection techniques or other forms of information technology.

DATES: Consideration will be given to all comments received by [insert 60 days from publication of this notice in the Federal Register]. (*Type this entry exactly as written. The Federal Register Office will calculate and insert the correct date.*)

ADDRESSES: Written comments and recommendations on the proposed information collection should be sent to *the Office of the Civilian Health and Medical Program of the Uniformed Services (OCHAMPUS), Fitzsimons Army Medical Center, Office of Appeals and Hearings, ATTN: [Name of Project Officer], Aurora, CO 80045-6900.*

FOR FURTHER INFORMATION CONTACT: To request more information on this proposed information collection or to obtain a copy of the proposal and associated collection instruments, please write to the above address, or call *OCHAMPUS, Office of Appeals and Hearings, at [Telephone Number].*

TITLE; ASSOCIATED FORM; AND OMB NUMBER: Professional Qualifications, Medical and Peer Reviewers; CHAMPUS Form 780;

Figure C3.F6. Federal Register 60-Day Notice - Sample

OMB Number 0720-0005.

NEEDS AND USES: The information collection requirement is necessary to obtain and record the professional qualifications of medical and peer reviewers utilized within CHAMPUS. The form is included as an exhibit in an appeal or hearing case file as evidence of the reviewer's professional qualifications to review the medical documentation contained in the case file.

AFFECTED PUBLIC: Business or other for profit; Not-for-profit institutions

ANNUAL BURDEN HOURS: 15

NUMBER OF RESPONDENTS: 60

RESPONSES PER RESPONDENT: 1

AVERAGE BURDEN PER RESPONSE: 15 minutes

FREQUENCY: On occasion

SUPPLEMENTARY INFORMATION:

Summary of Information Collection

Respondents are medical professionals who provide medical and peer review of cases appealed to the Office of Appeals and Hearing, OCHAMPUS. CHAMPUS Form 780 records the professional qualifications of the medical or peer reviewer. The completed form is included as an exhibit in the appeal or hearing case file, and documents for anyone reviewing the file, the professional qualifications of the medical professional who reviewed the case. If the form is not included in the case file, individuals reviewing the file cannot be readily assured of the qualifications of the reviewing medical professional. Having qualified professionals provide medical and peer review is essential in maintaining the integrity of the appeal and hearing process.

[Name of Liaison Officer]
Alternate OSD Federal Register
Liaison Officer
Department of Defense

Figure C3.F6. Federal Register 60-Day Notice - Sample, continued

30 DAY FEDERAL REGISTER NOTICE

DEPARTMENT OF DEFENSE

Submission for OMB review; comment request

ACTION: NOTICE

The Department of Defense has submitted to OMB for clearance the following proposal for collection of information under the provisions of the Paperwork Reduction Act (44 U.S.C. Chapter 35).

TITLE, ASSOCIATED FORM AND OMB NUMBER: Marine Corps Advertising Awareness and Attitude Tracking Study, [If Applicable, Include Form Number], OMB Number 0704-0155.

TYPE OF REQUEST: Revision

NUMBER OF RESPONDENTS: 1,400

RESPONSES PER RESPONDENT: 2

ANNUAL RESPONSES: 2,800

AVERAGE BURDEN PER RESPONSE: 21 minutes

ANNUAL BURDEN HOURS: 980

NEEDS AND USES: This collection of information will be used by the Marine Corps to gauge the effectiveness of current advertising campaigns. The study also serves as an important planning tool in shaping the strategy for future advertising efforts. Questions are posed to sixteen to nineteen year old males and females to determine their awareness of Marine Corps advertising.

AFFECTED PUBLIC: Individuals or households

FREQUENCY: Semi-Annually

RESPONDENT'S OBLIGATION: Voluntary

OMB DESK OFFICER: *[Name of Desk Officer]*

Written comments and recommendations on the proposed information collection should be sent to *[Name]* at the Office of Management and Budget, Desk Officer for DoD, Room 10236, New Executive Office Building, Washington, DC 20503.

Figure C3.F7. Federal Register 30-Day Notice - Sample

DOD CLEARANCE OFFICER: *[Name of Clearance Officer]*

Written requests for copies of the information collection proposal should be sent to *[Name]*, WHS/DIOR, 1215 Jefferson Davis Highway, Suite 1204, Arlington, VA 22202-4302.

[Name of Liaison Officer]
Alternate OSD Federal Register
Liaison Officer
Department of Defense

PAPERWORK REDUCTION ACT CHANGE WORKSHEET		
Agency/Subagency Department of Defense PDUSD (A&T) DP/DAR		OMB control number <u>0 7 0 4 - 0 3 8 7</u>
<i>Enter only items that change</i>		
	Current record	New record
Agency form number(s)		
Annual reporting and recordkeeping hour burden		
Number of respondents	50	0
Total annual respondents	50	0
Percent of these responses collected electronically	0 %	0 %
Total annual hours	4,000	0
Difference		-4,000
Explanation of difference		-4,000
Program change		
Adjustment		
Annual reporting and recordkeeping cost burden (in thousands of dollars)		
Total annualized Capital/Startup costs	0	0
Total annual costs (O&M)	0	0
Total annualized cost requested	0	0
Difference		0
Explanation of difference		
Program change		0
Adjustment		0
Other changes** Information collection expires 07/31/1999. Section 1027 of the National Defense Authorization Act for Fiscal Year 1998 (P.L. 105-85) repealed the statute upon which the information collection requirement was based. See attached.		
Signature of Senior Official or designee:	Date:	For OIRA Use
[Signature of Director, DIOR/WHS]	May 6, 1998	
**This form cannot be used to extend an expiration date.		

OMB FORM 83-C, 10/95

Designed using Perform Pro, DOO/WHS/DIOR

Figure C3.F8. OMB 83-C, "Paperwork Reduction Act Change Worksheet" - Sample

June 1998
DoD 8910.1-M

PAPERWORK REDUCTION ACT EMERGENCY EXTENSION		
Agency/Subagency Department of Defense OASD(Health Affairs)		OMB control number <u>0 7 2 0 - 0 0 2 4</u>
Current record		New record**
Expiration date	<u>12</u> / <u>97</u> month / year	<u>03</u> / <u>98</u> month / year
Reason for emergency extension request		
<p>A ninety day extension is requested to establish a new expiration date of March 1998.</p> <p>This extension is necessary to provide a smooth transition period to allow the Department of Defense time to implement the XYZ Medical Program, required by public law. Recent statutory changes mandated by Section 1234 of the National Defense Authorization Act for Fiscal Year 1998 requires that additional medical benefits be made available to military retirees and annuitants (see attached). The current Department of Defense form approved under OMB Number 0720-0024 has been modified to gather the additional data required to implement the statutory requirements. The use of normal clearance procedures will prevent the timely collection of information and cause the statutory deadline to be missed. The additional ninety day extension will allow the Department sufficient time to comply with normal information clearance procedures required in 5 CFR 1320. A sixty day Federal Register notice was published on November 1, 1997 (see attached).</p>		
Signature of Senior Official or designee:		Date:
[Signature of Director, DIOR/WHS]		DEC 15, 1997
		For OIRA Use
**Three month maximum allowed from current expiration date.		

OMB FORM 83-E, 10/95

Designed using Perform Pro, OOD/WHS/DIOR

Figure C3.F9. OMB 83-E, "Paperwork Reduction Act Emergency Extension" - Sample

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